



**Administration for Community Living**

Administration on Aging

National Center on Elder Abuse (NCEA)  
HHS-2014-ACL-AOA-AB-0069  
Application Due Date: 07/01/2014

National Center on Elder Abuse (NCEA)

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**Department of Health & Human Services**  
**Administration for Community Living**

**ACL Center:** Administration on Aging  
**Funding Opportunity Title:** National Center on Elder Abuse (NCEA)  
**Announcement Type:** Initial  
**Funding Opportunity Number:** HHS-2014-ACL-AOA-AB-0069  
**Primary CFDA Number:** 93.048  
**Due Date For Letter of Intent:** 06/02/2014  
**Due Date for Applications:** 07/01/2014  
**Date for Informational Conference Call:** N/A

Applications that fail to meet the application due date will not be reviewed and will receive no further consideration. You are strongly encouraged to submit your application a minimum of 3-5 days prior to the application closing date. Do not wait until the last day in the event you encounter technical difficulties, either on your end or, with <http://www.grants.gov>. Grants.gov can take up to 48 hours to notify you of a successful submission.

### **Executive Summary**

Established in Section 202(d) of the OAA in 1992, the NCEA serves as a national resource center dedicated to the prevention of elder mistreatment. The NCEA is operated as a grant program and provides relevant information, materials, and support to enhance state and local efforts to prevent and address elder mistreatment. NCEA disseminates information to professionals and the public, and it provides technical assistance and training to states and to community-based organizations. The NCEA makes available news and resources; collaborates on research; provides consultation, education, and training; identifies and provides information about promising practices and interventions; answers inquiries and requests for information; and operates a listserv forum for professionals.

Through this program announcement, ACL plans to award a total of one (1) cooperative agreement to run the National Center on Elder Abuse (NCEA) Information Clearinghouse. Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education are eligible to apply under this program announcement. The use of subcontractors, subgrantees, or consultants to execute the proposal's programmatic activities may not constitute more than 20% of the total level of effort required to carry out the proposed activities for any budget period/year. Grantees are required to match at least 25% of the total program costs from non-federal cash or in-kind resources.

(Please note: One (1) contract will be awarded through a separate procurement, unrelated to this announcement, to operate and maintain the website for the NCEA information clearinghouse.)

### **I. Funding Opportunity Description**

## 1. Background

As the population of older Americans age 60 and older increases, the problem of elder abuse, neglect, and exploitation continues to grow. Despite the absence of robust national elder abuse prevalence data, the number of reported cases of elder abuse, neglect, and exploitation are on the rise. A 2004 national survey of State Adult Protective Services (APS) programs conducted by ACL's National Center on Elder Abuse (NCEA) showed a 16 percent increase in the number of elder abuse cases from an identical study conducted in 2000.<sup>[1]</sup> According to a 1998 national incidence study (the only such study ever conducted), 84 percent of all elder abuse incidents go unreported, meaning that for every reported case of abuse there are over five that go unreported.<sup>[2]</sup> Together, these data suggest that a minimum of 2.5 million elders are abused, neglected, and exploited annually and that the problem is growing larger each year.

The negative effects of abuse, neglect, and exploitation on the health and independence of seniors is extensive. Research has demonstrated that older victims of even modest forms of abuse have dramatically higher (300 percent) morbidity and mortality rates than non-abused older people.<sup>[3]</sup> Additional adverse health impacts include an increased likelihood of heart attacks, dementia, depression, chronic diseases and psychological distress. The result of these unnecessary health problems is a growing number of seniors who access the healthcare system more frequently (including emergency room visits and hospital admissions), and are ultimately forced to leave their homes and communities prematurely.<sup>[4]</sup>

The federal interest to address this problem of elder abuse, neglect, and exploitation began in 1962, when Congress authorized payments to states to establish protective services for adults through the Public Welfare Amendments to the Social Security Act. The state mandates and programs to protect and provide services to older adults continued into the mid 1980s. As of 1985, 46 states had a designated agency to address elder abuse under the auspice of adult protective services.<sup>[5]</sup> Most recently in 2010, Congress passed the Elder Justice Act, the first piece of comprehensive legislative authority designed to address and combat elder abuse, neglect, and exploitation.

As the effective and visible federal advocate for older Americans, the Administration on Aging (AoA; now the Administration for Community Living (ACL)) has been committed to protecting seniors from elder mistreatment for many years. Since 1972, AoA/ACL has administered a number of programs promoting elder justice and elder rights. The Long-Term Care Ombudsman Program was established in the Older Americans Act (OAA) to represent the rights and advocate on behalf of older residents living in nursing homes, assisted living, and other residential settings. The Title VII Elder Abuse, Neglect, and Exploitation Program was established in the OAA in 1992 to provide states with funding to support state and community-based elder justice networks that protect vulnerable seniors and provide them with critical information. Their activities include training professionals in how to recognize and respond to elder abuse cases, conducting public awareness and education campaigns, and creating state and community-based elder abuse prevention coalitions and multidisciplinary teams.

The NCEA was first created in 1988 as an information clearinghouse demonstration project on abuse, neglect, and exploitation, with the goals of identifying best practices in prevention and treatment, serving as a repository of research, and conducting demonstration projects to promote effective and coordinated responses to elder abuse, neglect, and exploitation. Along with the establishment of the OAA Title VII Elder Abuse, Neglect, and Exploitation Program in 1992, amendments were also made to Title II of the OAA to permanently establish and maintain the NCEA.

Since its inception, the NCEA has provided relevant information, materials, and support to enhance state and local efforts to prevent and address elder abuse, neglect, and exploitation. The NCEA disseminates information to professionals and the public, and it provides technical assistance and training to states and to community-based organizations. The NCEA makes available news and resources; collaborates on research; provides consultation, education, and training; identifies and provides information about promising practices and interventions; answers inquiries and requests for information; operates a listserv forum for professionals; and provides analysis on program and policy development. The NCEA has proved a valuable resource to many professionals working in some way with older victims of elder mistreatment, including: adult protective services (APS); national, state, and local aging networks; law enforcement; health care professionals; domestic violence networks; and others.

## 2. Project Objectives

The environment in which our prevention and response systems operate is swiftly changing. New research findings will be released in the coming months and years. As our understanding increases of the underlying causes, risk and protective factors, and effective interventions, existing programmatic and policy responses to elder maltreatment will need to change to incorporate this new information. As new professions are being targeted and trained to identify and respond to elder maltreatment, new service and systemic needs and gaps will be identified and will need to be addressed. As agendas and strategic blueprints are developed and refined, programs, systems, and policies will need to be re-evaluated for relevance, with some becoming obsolete and some rising to a new level of priority than before. As the momentum of progress continues to build in the field to address elder abuse, neglect, and exploitation, it is essential that our systems and programs remain flexible and responsive to this dynamic environment.

ACL envisions the NCEA as a global, comprehensive resource center that is an authoritative source of accurate information, a central referral point, and a key stakeholder in providing insight on these and other developments and issues in the field of elder abuse, neglect, and exploitation. In order to carry out its mission as a national clearinghouse of information on elder abuse, neglect, and exploitation with over a 25-year history, ACL expects that the NCEA will be responsive to the changing needs and priorities in the field of elder abuse, neglect, and exploitation. Inherent in such flexibility is the ability to capitalize on and leverage new research findings, new initiatives, and new opportunities. As a leader in the field, the NCEA should strive to strengthen existing, and seek out new, collaborations and partnerships with other entities to better address the multidimensional issues of elder abuse, neglect, and exploitation.

ACL envisions the NCEA to continue to serve as a national resource center dedicated to the prevention of elder mistreatment, and to tailor its activities to meet the special needs of disadvantaged populations, including limited-English speakers and other underrepresented groups, to carry out its mission:

*National, state, and local partners in the field will be fully prepared to ensure that older Americans will live with dignity, integrity, independence, and without abuse, neglect, and exploitation.*

To achieve this mission, the following objectives have been established for the NCEA:

1. Develop and disseminate *information* for targeted groups of professionals to increase the identification and reporting of elder abuse, neglect, and exploitation, and to guide programs that protect older people.
2. Provide *tools* to increase the ability of professionals, especially those of the aging network and community-based agencies who have access to frail seniors on a daily basis, to identify, address, and prevent elder abuse, neglect, and exploitation.
3. Promote *systems change* by fostering the development of programs, models, and initiatives that

measurably decrease the incidence of elder abuse, neglect, and exploitation.

It is expected that to fully achieve its mission and objectives, the NCEA, as a current and state-of-the-art information clearinghouse, should incorporate the latest technology to generate and disseminate knowledge that can build and strengthen elder rights networks and enhance the effectiveness of state and community-based elder abuse prevention and intervention programs. As a national clearinghouse of information, the NCEA should be a resource for the general public and the myriad professionals who work to prevent, address, and ameliorate elder abuse, neglect, and exploitation, including elder rights advocates, social service professionals, the health care sector, law enforcement, legal professionals, public policy leaders, and researchers.

ACL has identified the following targets to establish a vision for activities of the NCEA. ACL does not expect the NCEA grantee to address all of the targets each year. At a minimum, applicants must identify how they propose to meet the “core targets” for the NCEA (as established in statute), as well as any other targets they have identified as the highest priority to accomplish:

### ***Core Targets***

“Core Targets” are those activities that are required to be carried out by Section 202(d) of the OAA.

- Serve as a national authority on elder abuse, neglect, and exploitation;
- Annually compile, publish, and disseminate a summary of recently conducted research on elder abuse, neglect, and exploitation (202(d)(2)(a));
- Develop and maintain an information clearinghouse on all programs (including private programs) showing promise of success for the prevention, identification, and treatment of elder abuse, neglect, and exploitation (202(d)(2)(b)), currently the “NCEA Promising Practices Database”;
- Compile, publish, and disseminate training materials for personnel who are engaged or intend to engage in the prevention, identification, and treatment of elder abuse, neglect, and exploitation (202(d)(2)(c));
- Provide technical assistance to State agencies and to other public and nonprofit private agencies and organizations to assist the agencies and organizations in planning, improving, developing, and carrying out programs and activities relating to the special problems of abuse, neglect, and exploitation(202(d)(2)(d));
- Research and review state programs and promising practices for adult protective services in order to develop model standards which could be adopted throughout the country (meets Section 202(d)(2)(e)).

### ***Secondary Targets***

“Secondary Targets” are those activities and/or issue areas identified by ACL as having the most

relevance to the identified needs of the field, as well as to ACL and HHS strategic priorities.

- Translate and disseminate relevant research and demonstrations into practice;
- Facilitate, foster, and/or develop innovative approaches to improving the guardianship system, addressing guardianship abuse, and incorporating the principles of supported decision making into guardianship;
- Engage in activities to raise awareness of elder abuse, neglect, and exploitation;
- Develop and employ a communications strategy, inclusive of a listserve for professionals (currently the NCEA Elder Abuse Listserv), a system to respond to requests from the public and professionals, and creation and dissemination of information materials (i.e. website content, newsletters, fact sheets, brochures, and/or issue briefs).

Applicants must clearly identify how the activities proposed in their applications address the above goals and priorities, including a discussion of their capacity and ability to be responsive and flexible to a rapidly changing environment. Applicants should be sure to identify the duration, frequency, and level of effort they anticipate for conducting the proposed activities in order to benefit the general public, as well as the expected outcomes of their proposed activities and the corresponding performance metrics. (See Sections IV and V below for more explanation.)

***Please Note:*** ACL will maintain and operate a website for the National Center on Elder Abuse, which will be obtained through procurement entirely separate from this program announcement. As established by [HHS Grants Policy Statement](#), “[i]n all cases, whether HHS funded all or part of the project or program resulting in the data, the Federal government must be given a royalty-free, nonexclusive, and irrevocable license for the Federal government to reproduce, publish, or otherwise use the material and to authorize others to do so for Federal purposes, e.g., to make it available in government-sponsored databases for use by other researchers.... Data developed by a subrecipient also are subject to this policy” (II-69). Any product developed under this grant may be copyrighted without ACL prior approval. However, the grantee may not in any way infringe upon the royalty-free, nonexclusive, and irrevocable license of the Federal government. As such and within these parameters, ACL expects to assess all materials developed under this cooperative agreement for their appropriateness to post on the [NCEA website](#) for the use and benefit of the general public. ACL also retains the right to grant permission for others to use, distribute, and cite materials developed under this grant.

## Section I. Citations:

- [1] Teaster, Pamela, et al. (2004). “The 2004 Survey of State Adult Protective Services: Abuse of Adults 60 Years of Age and Older”. Retrieved from: [http://www.ncea.aoa.gov/NCEAroot/Main\\_Site/pdf/2-14-06%20FINAL%2060+REPORT.pdf](http://www.ncea.aoa.gov/NCEAroot/Main_Site/pdf/2-14-06%20FINAL%2060+REPORT.pdf)
- [2] Tatara, Toshio, et al. (1998). “The National Elder Abuse Incidence Study Final Report.” Retrieved from: [http://www.aoa.gov/AoARoot/AoA\\_Programs/Elder\\_Rights/Elder\\_Abuse/docs/ABuseReport\\_Full.pdf](http://www.aoa.gov/AoARoot/AoA_Programs/Elder_Rights/Elder_Abuse/docs/ABuseReport_Full.pdf)
- [3] Lachs, M.S., Williams, C.S., O'Brien, S., Pillemer, K.A., & Charlson, M.E. (1998). “The Mortality of Elder Mistreatment.” JAMA. 280: 428-432. and Baker, M.W. (2007). “Elder Mistreatment: Risk,

Vulnerability, and Early Mortality." Journal of the American Psychiatric Nurses Association, Vol. 12, No. 6, 313-321.

[4] Lachs M. S., Williams C., O'Brien S., Hurst L., Kossack A., Siegal A., et al. (1997). "ED Use By Older Victims of Family Violence." Annals of Emergency Medicine. 30:448-454.

[5] National Research Council. (2003). Elder Mistreatment: Abuse, Neglect, and Exploitation in an Aging America. Panel to Review Risk and Prevalence of Elder Abuse and Neglect. Richard J. Bonnie and Robert B. Wallace, Editors. Washington, DC: The National Academies Press.

## Statutory Authority

The statutory authority for grants under this program announcement is contained in Title II, Section 202 (d) (42 U.S.C. 3012) of the Older Americans Act, as amended by the Older Americans Act Amendments of 2006, P.L. 109-365. (Catalog of Federal Domestic Assistance 93.048)

## II. Award Information

Funding Instrument Type:	Cooperative Agreement
Estimated Total Funding:	\$765,152
Expected Number of Awards:	1
Award Ceiling:	\$765,152 Per Budget Period
Award Floor:	\$0 Per Budget Period
Average Projected Award Amount:	\$765,152 Per Budget Period
36-month project with three 12-month budget periods	

Under this competition, the Administration for Community Living will award one (1) cooperative agreement of approximately \$765,152, for up to three (3) years, to operate a National Center on Elder Abuse (NCEA) Information Clearinghouse.

The use of subcontractors, subgrantees, or consultants (referred to as "subrecipients" in this funding opportunity announcement) to execute the proposal's programmatic activities may not constitute more than 20% of the total level of effort required to carry out substantive, programmatic activities at any time. If subrecipients will be used to accomplish substantive, programmatic activities, applications must clearly identify the projects where subrecipients will be engaged and clearly identify the total percentage of effort subrecipients are estimated to provide. Please note that the maximum 20% level of effort does not apply per project or task, but is a 20% maximum for all programmatic activities in *toto*.

Applications for continuation funding of the NCEA Information Clearinghouse beyond the initial year will be reviewed on a non-competitive basis, subject to the availability of funds, contingent on satisfactory progress of the grantee, and a determination by ACL that continued funding will be in the best interest of the government.

This is a new cooperative agreement. ACL will be substantially involved in the NCEA Information Clearinghouse (as listed in Section I. Funding Opportunity Description). The cooperative agreement will include the following terms:

As provided by the terms of the Federal Grant and Cooperative Agreement Act of 1977 (P.L. 95-224), this

Cooperative Agreement provides for the substantial involvement and collaboration of ACL in activities that the recipient organization will carry out in accordance with the provisions of the approved grant award.

The grantee agrees to execute the responsibilities outlined below:

1. Fulfill all of the requirements of the grant initiative as outlined in this program announcement, including carrying out activities to meet the statutory requirements of the NCEA as identified in Section 202 (d) of the Older Americans Act, as well as carry out project activities as reviewed, approved, and awarded.
2. Collaborate with the Administration for Community Living (ACL) in the execution of the work plan, and collaborate with ACL in understanding the programmatic and budgetary issues of the project. Based on these negotiations and emerging issues in the field, if necessary, the grantee will revise the project work plan and/or budget detailing expectations for major activities and products during the grant period.
3. Evaluate the impact of NCEA activities, and provide recommendations on ways to enhance the program.
4. Meet with the ACL project officer at least once each month, or at such other times as are agreed upon, to improve the effectiveness of the activities carried out under this Agreement.
5. Collaborate with other entities to respond to requests for technical assistance concerning elder abuse, neglect, and exploitation via email, telephone, or on-site when appropriate.
6. Work with other entities, both private and public, to foster an environment of multidisciplinary collaboration amongst the parties working to prevent or address elder abuse, neglect, and exploitation.
7. Produce products and/or materials under this award that are accurate, objective, unbiased, and of high professional quality, and that do not violate federal, departmental, or agency grant rules. Before publicly disseminating materials developed under this grant, grantee will provide the ACL project officer a copy of the final product in order for the ACL project officer to have at least 15 business days to ensure the product meets the requirements set forth in the program announcement and cooperative agreement.
8. Submit to the ACL project officer a final, clean copy of all data developed or supported with these grant funds, in the format in which it was developed or produced, as provided for in the [HHS Grants Policy Statement](#) and referenced in the Notice of Award. The HHS Grants Policy Statement defines “data” as: “recorded information, regardless of the form or media on which it may be recorded, and includes writings, films, sound recordings, pictorial reproductions, drawings, designs or other graphic representations, procedural manuals, forms, diagrams, work flow charts, equipment descriptions, data files, data processing or computer programs (software), statistical records, and other research data” (p. II-69, Footnote 18).

9. Include the following disclaimer on all products produced using grant funding for the NCEA:

"This (report/document/etc.) was completed for the National Center on Elder Abuse and is supported in part by a grant (No. XXX) from the Administration for Community Living (ACL), U.S. Department of Health and Human Services (DHHS). Grantees carrying out projects under government sponsorship are encouraged to express freely their findings and conclusions. Therefore, points of view or opinions do not necessarily represent official ACL or DHHS policy."

The ACL project officer agrees to execute the responsibilities outlined below:

1. Perform the day-to-day Federal responsibilities of managing a grant initiative and will work with the grantee to ensure that the minimum requirements for the grant are met.
2. Work cooperatively with the grantee to clarify the programmatic and budgetary issues to be addressed by the grantee project, and, as necessary, negotiate with grantee to achieve a mutually agreed upon solution to any needs identified by the grantee or ACL.
3. Assist the grantee project leadership in understanding the policy concerns and/or priorities of the NCEA program, ACL, and the Department of Health and Human Services by conducting periodic briefings and by carrying out ongoing consultations. ACL will also share information with the grantee about other federally sponsored projects and activities relevant to the interests of the NCEA grantees and their activities.
4. Provide technical advice to the grantee on the provision of technical support and associated tasks related to the fulfillment of the goals and objectives of this grant.
5. Provide technical advice on grantee work products to ensure they are accurate, objective, unbiased, and of high professional quality, and that they do not violate federal, departmental, or agency grant rules. Before publicly disseminating materials developed under this grant, grantee will provide the ACL project officer a copy of the final product, and within 15 business days, the ACL project officer will provide guidance and feedback on whether the product meets the requirements set forth in the program announcement and this cooperative agreement.
6. Provide consultation to the grantee in identifying emerging issues and modifying workplan priorities as necessary as they relate to the goals and objectives of the NCEA grant program.
7. Attend and participate in major project events, as appropriate.
8. Meet with the grantee project director at least once each month, or at such other times as are agreed upon, to improve the effectiveness of the activities carried out under this Agreement.

Once a cooperative agreement is in place, requests to modify or amend it or the work plan may be made by ACL or the awardee at any time. Modifications and/or amendments of the Cooperative Agreement or

work plan shall be effective upon the mutual agreement of both parties, except where ACL is authorized under the Terms and Conditions of award, 45 CFR Part 74 or 92, or other applicable regulation or statute to make unilateral amendments. When an award is issued the cooperative agreement terms and conditions from the program announcement are incorporated by reference.

### III. Eligibility Information

#### 1. Eligible Applicants

Domestic public or private non-profit entities including state and local governments, Indian tribal governments and organizations (American Indian/Alaskan Native/Native American), faith-based organizations, community-based organizations, hospitals, and institutions of higher education.

Applicants must demonstrate the skills and experience outlined in Section 3 below to be considered for funding under this program announcement.

The use of subcontractors, subgrantees, or consultants to execute the proposal's programmatic activities may not constitute more than 20% of the total level of effort required to carry out all programmatic activities at any time. If subrecipients will be used to accomplish programmatic activities, applications must clearly identify the projects where subrecipients will be engaged and clearly identify the total percentage of effort subrecipients are estimated to provide. Please note that the maximum 20% level of effort does not apply per project or task, but is a 20% maximum for all programmatic activities in *toto*.

#### 2. Cost Sharing or Matching

Cost Sharing / Matching Requirement: Yes

Under this ACL program, ACL will fund no more than 75% of the project's total cost, which means the applicant must cover at least 25% of the project's total cost with non-Federal resources. In other words, for every three (3) dollars received in Federal funding, the applicant must contribute at least one (1) dollar in non-Federal resources toward the project's total cost. This "three-to-one" ratio is reflected in the formula included under Item 18 in the "Instructions for Completing Requested Forms." You can use this formula to calculate your minimum required match. A common error applicants make is to match 25% of the Federal share, rather than 25% of the project's total cost.

There are two types of match: 1) non-Federal cash and 2) non-Federal in-kind. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered matching funds. Volunteered time and use of facilities to hold meetings or conduct project activities may be considered in-kind (third party) donations. Examples of non-Federal cash match includes budgetary funds provided from the applicant agency's budget for costs associated with the project. **ACL encourages you to not exceed the minimum match requirement.** Applications with a match greater than the minimum required will not receive additional consideration under the review. Match is not one of the responsiveness criteria as noted in Section III, 3 Application Screening Criteria.

#### 3. Responsiveness and Screening Criteria

##### Application Responsiveness Criteria

Applications will be programmatically reviewed to determine whether they meet the following **responsiveness criteria**. Those that do not will be administratively eliminated and will not be reviewed.

The applicant demonstrates the following **qualifications**:

- Expertise in elder abuse, neglect, and exploitation issues;
- Experience operating a large resource center serving state-wide, regional, or national audiences and stakeholders;
- Organizational capacity to run a national resource center that provides technical assistance and conducts activities on a wide array of programs and efforts to address elder abuse, neglect, and exploitation, including multidisciplinary teams; public awareness; research; direct services; training; and other prevention, intervention, or remediation efforts.

*Please Note:* It is not necessary that an applicant demonstrate existing, full capacity to carry out the activities of this grant program. Applicants are permitted to propose a period of “staffing up,” in which case their application must clearly detail how and in what timeframe this will be accomplished.

## Application Screening Criteria

All applications will be screened to assure a level playing field for all applicants. Applications that fail to meet the three screening criteria described below will not be reviewed and will receive no further consideration.

In order for an application to be reviewed, it must meet the following screening requirements:

1. Applications must be submitted electronically via <http://www.grants.gov> by 11:59 p.m., Eastern Time, by the **due date listed in section IV.3 Submission Dates and Times**.
2. The Project Narrative section of the Application must be **double-spaced**, on 8 ½” x 11” plain white paper with **1” margins** on both sides, and a **standard font size of not less than 11, preferably Times New Roman or Arial**.
3. The Project Narrative must not exceed X pages. **Project Narratives that exceed X pages** will have the additional pages removed and only the first X pages of the Project Narrative will be provided to the merit reviewers for funding consideration. NOTE: The Project Work Plan, Letters of Commitment, and Vitae of Key Project Personnel **are not counted** as part of the Project Narrative for purposes of the X-page limit.

Unsuccessful submissions will require authenticated verification from <http://www.grants.gov> indicating system problems existed at the time of your submission. For example, you will be required to provide an <http://www.grants.gov>; submission error notification and/or tracking number in order to substantiate missing the application deadline.

In addition to the above three screening criteria, all applications will also be reviewed for the following 2 items to ensure a level playing field for all applicants:

- A. Substantive Programmatic Involvement:** The application clearly identifies that the use of subcontractors, subgrantees, or consultants (referred to as “subrecipients” in this funding opportunity announcement) to execute the proposal’s substantive, programmatic activities does not constitute more than 20% of the total level of effort required to carry out all substantive, programmatic activities

at any time. If subrecipients will be used to accomplish substantive programmatic activities, the application clearly identifies the projects where subrecipients will be engaged, details how subrecipients are meaningfully integrated into the work of the NCEA throughout the course of the activity, and clearly identifies the total percentage of effort estimated that all subrecipients will provide. The transfer of substantive programmatic work does not include contracting for routine goods or services used in or in support of a grant.

*Please note:* The maximum 20% level of effort does not apply per project or task, but is a 20% maximum for all substantive programmatic activities “in toto”. Level of effort is measured in terms of the budget. Therefore, no more than 20% of the project’s total budget may be allocated to subrecipients, including in-kind contributions or paid work. Letters of commitment are required for any proposed subrecipients. Letters of commitment must specifically identify the work the subrecipient is agreeing to do. Applications are required to identify subrecipients for substantive programmatic work to ensure that the grant recipient of record is not acting as a conduit to another party (that may not be eligible to receive funding directly) and remains eligible for an award.

**B. The Project Workplan and Budget** provide information for the entire three (3) year grant period.

## IV. Application and Submission Information

### 1. Address to Request Application Package

Application materials can be obtained from <http://www.grants.gov> or [http://www.acf.hhs.gov/Funding\\_Opportunities/Announcements/Index.aspx](http://www.acf.hhs.gov/Funding_Opportunities/Announcements/Index.aspx).

Please note, ACL is requiring applications for all announcements to be submitted electronically through <http://www.grants.gov>. The Grants.gov (<http://www.grants.gov>) registration process can take several days. If your organization is not currently registered with <http://www.grants.gov>, please begin this process immediately. **For assistance with <http://www.grants.gov>, please contact them at [support@grants.gov](mailto:support@grants.gov) or 1-800-518-4726 between 7 a.m. and 9 p.m. Eastern Time.** At <http://www.grants.gov>, you will be able to download a copy of the application packet, complete it off-line, and then upload and submit the application via the Grants.gov website (<http://www.grants.gov>).

Applications submitted via <http://www.grants.gov>:

- You may access the electronic application for this program on <http://www.grants.gov>. You must search the downloadable application page by the Funding Opportunity Number or CFDA number.
- At the <http://www.grants.gov> website, you will find information about submitting an application electronically through the site, including the hours of operation. ACL strongly recommends that you do not wait until the application due date to begin the application process through <http://www.grants.gov> because of the time involved to complete the registration process.
- All applicants must have a DUNS number ([www.dnb.com](http://www.dnb.com)) and be registered with the System for Award Management (SAM, [www.sam.gov](http://www.sam.gov)) and maintain an active SAM registration until the application process is complete, and should a grant be made, throughout the life of the award. Finalize a new, or renew an existing, registration at least two weeks before the application deadline. This action should allow you time to resolve any issues that may arise. Failure to comply with these requirements may result in your inability to submit your application or receive an award. Maintain documentation (with dates) of your efforts to register or renew at least two weeks before the deadline. See the SAM Quick Guide for Grantees at: [https://www.sam.gov/sam/transcript/SAM\\_Quick\\_Guide\\_Grants\\_Registrations-v1.6.pdf](https://www.sam.gov/sam/transcript/SAM_Quick_Guide_Grants_Registrations-v1.6.pdf)
- HHS requires all entities that plan to apply for, and ultimately receive, federal grant funds from any HHS Agency, or receive sub-awards directly from recipients of those grant funds to:

- Be registered in the SAM prior to submitting an application or plan;
  - Maintain an active SAM registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
  - Provide its active DUNS number in each application or plan it submits to the OPDIV.
- The agency is prohibited from making an award until an applicant has complied with these requirements. At the time an award is ready to be made, if the intended recipient has not complied with these requirements, the agency:
- May determine that the applicant is not qualified to receive an award; and
  - May use that determination as a basis for making an award to another applicant.
- **Note:** Failure to submit the correct suffix can lead to delays in identifying your organization and access to funding in the Payment Management System.
  - Effective October 1, 2010, HHS requires all entities that plan to apply for and ultimately receive Federal grant funds from any HHS Operating/Staff Division (OPDIV/STAFFDIV) **or receive subawards directly from the recipients of those grant funds** to be:
    1. Be registered in SAM prior to submitting an application or plan;
    2. Maintain an active SAM registration with current information at all times during which it has an active award or an application or plan under consideration by an OPDIV; and
    3. Provide its DUNS umber in each application or plan it submits to the OPDIV.

An award cannot be made until the applicant has complied with these requirements. At the time an award is ready to be made, if the intended recipient has not complied with these requirements, the OPDIV/STAFFDIV:

- May determine that the applicant is not qualified to receive an award; and
- May use that determination as a basis for making an award to another applicant.

Additionally, all first-tier subaward recipients must have a DUNS number at the time the subaward is made.

- Since October 1, 2003, The Office of Management and Budget has required applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for Federal grants or cooperative agreements. It is entered on the SF 424. It is a unique, **nine-digit identification number**, which provides unique identifiers of single business entities. The DUNS number is *free and easy* to obtain.
- Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by using this link to access a guide:  
[http://www.whitehouse.gov/sites/default/files/omb/grants/duns\\_num\\_guide.pdf](http://www.whitehouse.gov/sites/default/files/omb/grants/duns_num_guide.pdf).
- You must submit all documents electronically, including all information included on the SF424 and all necessary assurances and certifications.
- Prior to application submission, Microsoft Vista and Office 2007 users should review the <http://www.grants.gov> compatibility information and submission instructions provided at <http://www.grants.gov> (click on “**Vista and Microsoft Office 2007 Compatibility Information**”).
- **Your application must comply with any page limitation requirements described in this Program Announcement.**
- After you electronically submit your application, you will receive an automatic acknowledgement from <http://www.grants.gov> that contains <http://www.grants.gov> tracking number. The Administration for Community Living will retrieve your application form from

<http://www.grants.gov>.

- After the Administration for Community Living retrieves your application form from <http://www.grants.gov>, a return receipt will be emailed to the applicant contact. This will be in addition to the validation number provided by <http://www.grants.gov>.
- Each year organizations applying for Federal grants through <http://www.grants.gov> need to register or update their registration with the System for Award Management (SAM) [Formerly the Central Contractor Registry (CCR)]. You can complete the initial registration on [www.SAM.gov](http://www.SAM.gov) in three days; however, you must update your registration on [www.SAM.gov](http://www.SAM.gov) every year, which can take five days. When you register, or update your registration on [www.SAM.gov](http://www.SAM.gov), you must have your DUNS number and other information about your organization available.
- To keep your SAM.gov registration active, be sure to renew at least once each year. If your registration expires you cannot submit a grant application until it is renewed.

### Contact person regarding this Program Announcement:

U.S. Department of Health and Human Services

Administration for Community Living

Stephanie Whittier Eliason

Office of Elder Rights

Phone Number: (202) 357-3519

E-mail: [Stephanie.WhittierEliason@aoa.hhs.gov](mailto:Stephanie.WhittierEliason@aoa.hhs.gov)

## 2. Content and Form of Application Submission

### a. Letter of Intent

#### Letter of Intent

Due Date for Letter of Intent: **06/02/2014**

Applicants are requested, but not required, to submit a letter of intent to apply for this funding opportunity to assist ACL in planning for the application independent review process. The purpose of the letter of intent is to allow our staff to estimate the number of independent reviewers needed and to avoid potential conflicts of interest in the review. Letters of intent should be sent to:

U.S. Department of Health and Human Services

Administration for Community Living

**Stephanie Whittier Eliason**

**Office of Elder Rights**

Email: [Stephanie.whittiereliason@acl.hhs.gov](mailto:Stephanie.whittiereliason@acl.hhs.gov)

Fax: 202-357-3549

### b. Project Narrative

The Project Narrative must be double-spaced, on 8 ½" x 11" paper with 1" margins on both sides, and a standard font size of not less than 11, preferably Times New Roman or Arial. You can use smaller font sizes to fill in the Standard Forms and Sample Formats. The suggested length for the Project Narrative is X to X pages; X pages is the maximum length allowed. Project Narratives that exceed X pages will have the additional pages removed and only the first X pages of the Project Narrative will be provided to the merit reviewers for funding consideration. The Project Work Plan, Letters of Commitment, and Vitae of Key Personnel are not counted as part of the Project Narrative for purposes of the X-page limit, but all of

the other sections noted below are included in the limit.

The components of the Project Narrative counted as part of the X page limit include:

Summary/Abstract

Problem Statement

Goal(s) and Objective(s)

Proposed Intervention

Special Target Populations and Organizations

Outcomes

Project Management

Evaluation

Dissemination

Organizational Capability

The Project Narrative is the most important part of the application, since it will be used as the primary basis to determine whether or not your project meets the minimum requirements for grants under the authorizing statutes. The Project Narrative should provide a clear and concise description of your project. ACL recommends that your project narrative include the following components:

In preparing the Project Narrative, it is recommended that you review Section V.1., "Review Criteria", to be sure you understand how your application's project narrative will be reviewed and scored.

### **Summary/Abstract**

This section should include a brief - no more than 265 words maximum - description of the proposed project, including: goal(s), objectives, outcomes, and products to be developed. Detailed instructions for completing the summary/abstract are included in the "Instructions for Completing the Project Summary/Abstract."

### **Problem Statement**

This section should describe, in both quantitative and qualitative terms, the nature and scope of the particular problem or issue the proposed intervention is designed to address, including how the project will potentially affect older adults and /or people with disabilities, their families and caregivers and the health care and social services systems.

Specific to this funding opportunity, this section should detail how the project will potentially affect its targeted population(s), including older adults, their caregivers, specific subgroups within those populations, and the systems involved in the prevention, identification, and/or response to elder abuse, neglect, and exploitation. It is recommended that applicants focus their problem statement on the specific aspects of the programmatic and policy considerations bearing on the development of elder abuse prevention and intervention programs and the roles of the national, state, and local agencies responsible for their operation as it pertains to their proposed activities, rather than providing a broad or sweeping historical overview that is not directly related to the proposed interventions and activities.

### **Goals and Objectives**

This section should consist of a description of the project's goal(s) and major objectives. Unless the project involves multiple, complex interventions, we recommend you have only one overall goal.

### **Proposed Intervention**

This section should provide a clear and concise description of the intervention you are proposing to use to address the problem described in the "Problem Statement". You should also describe the rationale for using the particular intervention, including factors such as: "lessons learned" for similar projects previously tested in your community, or in other areas of the country; factors in the larger environment

that have created the “right conditions” for the intervention (e.g., existing social, economic or political factors that you’ll be able to take advantage of, etc.). Also note any major barriers you anticipate encountering, and how your project will be able to overcome those barriers. Be sure to describe the role and makeup of any strategic partnerships you plan to involve in implementing the intervention, including other organizations, supporters, and/or consumer groups.

Specific to this funding opportunity, this section should detail:

- the nature of the activities to be undertaken to carry out the "Core" and "Secondary" targets identified for the NCEA in this program announcement,
- how the proposed activities address system gaps and identified issues, and
- how the proposed activities will assist in achieving the overall project goals and objectives.

Applicants are expected to present a clear connection between identified system gaps/needs and the proposed activities. At minimum, applicants should:

1. Indicate a plan for addressing the problems or issues on a national level. Provide detailed descriptions of specific products or outcomes proposed for development or modification.
2. In addition to the NCEA website, demonstrate how technology will be incorporated to advertise and advance programs and services, provide training and/or technical assistance, and disseminate information and products.
3. Describe the role and makeup of potential subrecipients who are intended to be involved in completing specific tasks, and identify the percentage of level of effort (not to exceed a total of 20%) subrecipients are anticipated to provide in completing substantive, programmatic activities.
4. Provide specifics about the intervention strategies, expected outcomes and barriers for all anticipated years of the grant (3).

### **Special Target Populations and Organizations**

This section should describe how you plan to involve community-based organizations in a meaningful way in the planning and implementation of the proposal project. This section should also describe how the proposed intervention will target disadvantaged populations, including limited-English speaking populations.

### **Outcomes**

This section of the project narrative must clearly identify the measurable outcome(s) that will result from the project. (**NOTE: ACL will not fund any project that does not include measurable outcomes**). This section should also describe how the project’s findings might benefit the field at large, (e.g., how the findings could help other organizations throughout the nation to address the same or similar problems.) List measurable outcomes in the optional work plan grid (“Project Work Plan – Sample Template”) under “Measurable Outcomes” in addition to any discussion included in the narrative along with a description of how the project might benefit the field at large.

A “measurable outcome” is an observable end-result that describes how a particular intervention benefits consumers. It demonstrates the functional status, mental well-being, knowledge, skill, attitude, awareness or behavior.) It can also describe a change in the degree to which consumers exercise choice over the types of services they receive, or whether they are satisfied with the way a service is delivered. Additional examples include: a change in the responsiveness or cost-effectiveness of a service delivery system; a new model of support or care that can be replicated in the aging network; new knowledge that can contribute to the field of aging; a measurable increase in community awareness; or a measurable increase in persons receiving services. A measurable outcome is not a measurable “output”, such as: the number of clients served; the number of training sessions held; or the number of service units provided.

You should keep the focus of this section on describing what outcome(s) will be produced by the project. You should use the Evaluation section noted below to describe how the outcome(s) will be measured and reported.

Your application will be scored on the clarity and nature of your proposed outcomes, not on the number of outcomes cited. It is totally appropriate for a project to have only ONE outcome that it is trying to achieve through the intervention reflected in the project's design.

### **Project Management**

This section should include a clear delineation of the roles and responsibilities of project staff, consultants and partner organizations, and how they will contribute to achieving the project's objectives and outcomes. It should specify who would have day-to-day responsibility for key tasks such as: leadership of project; monitoring the project's on-going progress, preparation of reports; communications with other partners and ACL. It should also describe the approach that will be used to monitor and track progress on the project's tasks and objectives.

Specific to this funding opportunity, this section should include a clear delineation of any subrecipients, and how they will contribute to achieving the project's objectives and outcomes. This section should also describe the approach that will be used to monitor and track progress on the substantive, programmatic work undertaken by subrecipients. ACL expects that throughout the grant period, the Project Director will have involvement in, and substantial knowledge about, all aspects of the project.

### **Evaluation**

This section should describe the method(s), techniques and tools that will be used to: 1) determine whether or not the proposed intervention achieved its anticipated outcome(s), and 2) document the "lessons learned" – both positive and negative - from the project that will be useful to people interested in replicating the intervention, if it proves successful.

### **Dissemination**

This section should describe the method that will be used to disseminate the project's results and findings in a timely manner and in easily understandable formats, to parties who might be interested in using the results of the project to inform practice, service delivery, program development, and/or policy-making, including and especially those parties who would be interested in replicating the project.

Specific to this funding opportunity, please note that all appropriate findings and products will be posted on the NCEA website as determined by the ACL project officer. Therefore, applicants should propose other/additional innovative approaches to informing parties who might be interested in using the results of the project to inform practice, service delivery, program development, and/or policy-making, especially to those parties who would be interested in replicating the project. As the NCEA is a national information clearinghouse, ACL expects that nationwide dissemination of products and knowledge will occur.

### **Organizational Capacity Statement**

Each application should include an organizational capability statement and vitae for key project personnel. The organizational capability statement should describe how the applicant agency (or the particular division of a larger agency which will have responsibility for this project) is organized, the nature and scope of its work and/or the capabilities it possesses. It should also include the organization's capability to sustain some or all project activities after Federal financial assistance has ended.

This description should cover capabilities of the applicant agency not included in the program narrative, such as any current or previous relevant experience and/or the record of the project team in preparing cogent and useful reports, publications, and other products. If appropriate, include an organization chart showing the relationship of the project to the current organization. Please attach short vitae for key project

staff only. Neither vitas nor an organizational chart will count towards the narrative page limit. Also include information about any contractual organization(s) that will have a significant role(s) in implementing project and achieving project goals.

Specific to this funding announcement, this section should include a discussion of any current or previous relevant experience and/or the record of the project team in operating a large resource center and building partnerships, and should be sure to address the "responsiveness criteria" outlined in Section III.3.

This section is another place that would be appropriate to identify that subrecipients do not constitute more than 20% of the level of effort your organization will expend on substantive, programmatic activities.

#### c. Work Plan

The Project Work Plan should reflect and be consistent with the Project Narrative and Budget and should cover all three (3) years of the project period. It should include a statement of the project's overall goal, anticipated outcome(s), key objectives, and the major tasks / action steps that will be pursued to achieve the goal and outcome(s). For each major task / action step, the work plan should identify timeframes involved (including start- and end-dates), and the lead person responsible for completing the task. Please use the "Project Work Plan - Sample Template" format as a reference and resource, if desired.

#### d. Letters of Commitment from Key Participating Organizations and Agencies

Include confirmation of the commitments to the project (should it be funded) made by key collaborating organizations and agencies in this part of the application. Any organization that is specifically named to have a significant role in carrying out the project should be considered an essential collaborator. For applications submitted electronically via <http://www.grants.gov>, signed letters of commitment should be scanned and included as attachments. Applicants unable to scan the signed letters of commitment may fax them to the ACL Office of Grants Management at 202-357-3467 by the application submission deadline. In your fax, be sure to include the funding opportunity number and your agency name.

Specific to this funding opportunity, Letters of Commitment are **REQUIRED** for all organizations and entities that have been specifically named as a subrecipient to carry out substantive, programmatic aspects of the project. The signed letters of commitment **must detail** the specific role(s) and resources that will be provided, or activities that will be undertaken, in support of the applicant. The organization's expertise, experience, and access to the targeted population(s) should also be described in the letter of commitment.

Letters of commitment are not the same as letters of support. Letters of support are letters that are general in nature that speak to the writer's belief in the capability of an applicant to accomplish a goal/task. Letters of support also may indicate an intent or interest to work together in the future, but they lack specificity. Applicants should NOT provide letters of "support," and letters of support such as this will be removed from the application package and not considered during the review.

#### e. Budget Narrative/Justification

The Budget Narrative/Justification can be provided using the format included in the document, "Budget Narrative/Justification – Sample Format." Applicants are encouraged to pay particular attention to this document, which provides an example of the level of detail sought. A combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding is required.

**Please Note:** Because the proposal must demonstrate a clear and strong relationship between the stated objectives, project activities, and the budget, the budget justification should describe the cost estimated per project, activity, or product proposed. This budget justification should define the amount of work that is planned and expected to be performed and what it will cost. This will also be used to help determine if subrecipients constitute more than 20% of the total level of effort to carry out substantive, programmatic activities.

### 3. Submission Dates and Times

Applications that fail to meet the application due date will not be reviewed and will receive no further consideration. You are strongly encouraged to submit your application a minimum of 3-5 days prior to the application closing date. Do not wait until the last day in the event you encounter technical difficulties, either on your end or, with <http://www.grants.gov>. Grants.gov can take up to 48 hours to notify you of a successful submission.

Unsuccessful submissions will require authenticated verification from <http://www.grants.gov> indicating system problems existed at the time of your submission. For example, you will be required to provide an <http://www.grants.gov> submission error notification and/or tracking number in order to substantiate missing the cut off date.

Grants.gov (<http://www.grants.gov>) will automatically send applicants a tracking number and date of receipt verification electronically once the application has been successfully received and validated in <http://www.grants.gov>.

Due Date for Applications: **07/01/2014**

### 4. Intergovernmental Review

This funding opportunity announcement is not subject to the requirements of Executive Order 12372, "Intergovernmental Review of Federal Programs."

### 5. Funding Restrictions

The following activities are not fundable:

- Construction and/or major rehabilitation of buildings
- Basic research (e.g. scientific or medical experiments)
- Continuation of existing projects without expansion or new and innovative approaches

**Note:** A recent Government Accountability Office (GAO) report number 11-43, has raised considerable concerns about grantees and contractors charging the Federal government for additional meals outside of the standard allowance for travel subsistence known as per diem expenses. Executive Orders on Promoting Efficient Spending (EO 13589) and Delivering Efficient, Effective and Accountable Government (EO 13576) have been issued and instruct Federal agencies to promote efficient spending. Therefore, if meals are to be charged in your proposal, applicants should understand such costs must meet the following criteria outlined in the Executive Orders and HHS Grants Policy Statement:

- *Meals are generally unallowable except for the following:*
  - *For subjects and patients under study (usually a research program);*
  - *Where specifically approved as part of the project or program activity, e.g., in programs providing children's services (e.g., Headstart);*
  - *When an organization customarily provides meals to employees working beyond the normal workday, as a part of a formal compensation arrangement;*
  - *As part of a per diem or subsistence allowance provided in conjunction with allowable travel;*

*and*

- *Under a conference grant, when meals are a necessary and integral part of a conference, provided that meal costs are not duplicated in participants' per diem or subsistence allowances. (Note: conference grant means the sole purpose of the award is to hold a conference)*

## **6. Other Submission Requirements**

Letters of intent are REQUESTED as identified in Section IV.2.a, but are not required.

Letters of intent should be emailed or faxed to:

Stephanie Whittier Eliason

Office of Elder Rights

**Email:** Stephanie.whittiereliason@aoa.hhs.gov

**Fax:** 202-357-3549

(Contact Phone: 202-357-3519)

## **V. Application Review Information**

### **1. Criteria**

Applications are scored by assigning a maximum of 100 points across five criteria:

- a. Project Relevance & Current Need
- b. Approach
- c. Budget
- d. Project Impact
- e. Organizational Capacity

#### **Project Relevance & Current Need**

**Maximum Points: 5**

Does the proposed project clearly and adequately identify the relevance of the priority areas, as described in this program announcement, in relation to current national, state, and community needs? Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge? Does the applicant demonstrate a familiarity with the current programmatic and policy considerations bearing on the development of elder abuse prevention and intervention programs and the roles of the national, state, and local agencies responsible for their operation?

#### **Approach**

**Maximum Points: 50**

Is the intervention clearly defined? Does it reflect a coherent and feasible approach for successfully addressing the identified problem and achieving the identified outcome(s)? Does the project take into account barriers and opportunities that exist in the larger environment that may impact on the project's success? Does the intervention optimize the use of potential partnerships with other organizations and/or consumer groups, as appropriate? Does the applicant indicate a plan for achieving projects of

national scope?

Is the project work plan clear and comprehensive? Does it include sensible and feasible timeframes and milestones for the accomplishment of tasks presented? Are the activities described in the application consistent with ACL priorities, as described in this program announcement? Does the work plan include specific objectives and tasks that are linked to measurable outcomes? Are the roles and responsibilities of project staff and subgrantees/subcontractors clearly defined and linked to specific objectives and tasks?

Does the application describe how local, community-based organizations will be involved in a meaningful way in the planning and/or implementation of the proposed project(s)? Does the approach include groups that work with underrepresented populations in its target population?

**Budget****Maximum Points: 10**

Is the budget justified with respect to the adequacy and reasonableness of resources requested? Does the application adequately describe the budget, budget narrative, and budget justification, as requested in the project narrative? Is the project cost-effective and programmatically efficient, maximizing Federal and all other resources?

Are budget line items clearly delineated and consistent with work plan objectives? Does the budget justification provide a detailed breakdown of cost per project, activity, or product?

**Project Impact****Maximum Points: 20**

Does the applicant provide detailed descriptions of specific products or outcomes proposed for development or modification? Are the expected project benefits/results clear, realistic, and consistent with the objectives and purpose of the NCEA, as described in this program announcement? Are the anticipated outcomes of the proposed project likely to be achieved and will they significantly benefit the populations affected by the intervention, and the field of aging as a whole? Are the proposed outcomes quantifiable and measurable, consistent with the definition of a project outcome contained in the Program Announcement?

Does the project evaluation reflect a thoughtful and well-designed approach that will be able to successfully measure whether or not the project has achieved its proposed outcome(s)? Does the plan include the qualitative and/or quantitative methods necessary to reliably measure outcomes? Is the evaluation also designed to capture “lessons learned” from the overall effort that might be of use to others in addressing elder abuse, neglect, and exploitation, especially those who might be interested in replicating any or all of the project’s approaches?

Does the proposal demonstrate creativity in how technology will be integrated to advertise the NCEA programs and services, and to disseminate information and products to all appropriate audiences? Will the dissemination plan get relevant and easy to use information in a timely manner?

## **Organizational Capacity**

**Maximum Points: 15**

Does the applicant organization clearly identify their capacity for carrying out the proposed project and evaluation? (It is not necessary that an applicant demonstrate existing, full capacity to carry out the activities of this grant program. Applicants are permitted to propose a period of “staffing up,” in which case their application must clearly detail how and in what timeframe this will be accomplished.)

Do the proposed project director(s), key staff, and subrecipients have the background, experience, and other qualifications required to carry out their designated roles, as described in the "Responsiveness Criteria"?

Is the level of effort of the project staff, consultants, and/or subrecipients appropriate and adequate to carryout the project? Is the time commitment of the proposed director and other key project personnel sufficient to assure proper direction, management, and timely completion of the project?

Do subrecipients constitute no more than 20% of the total level of effort needed to carry out the proposed substantive, programmatic activities? Are Letters of Commitment included from organizations/individuals identified as sub-recipients, and do they detail the clear commitment and areas of responsibility of those organizations/individuals, consistent with the work plan description of their intended roles and contributions?

## **2. Review and Selection Process**

An independent review panel of at least three individuals will evaluate applications that pass the screening and meet the responsiveness criteria if applicable. These reviewers are experts in their field, and are drawn from academic institutions, non-profit organizations, state and local government, and Federal government agencies. Based on the Application Review Criteria as outlined under section V.1, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the identified criteria.

Final award decisions will be made by the Administrator, ACL. In making these decisions, the Administrator will take into consideration: recommendations of the review panel; reviews for programmatic and grants management compliance; the reasonableness of the estimated cost to the government considering the available funding and anticipated results; and the likelihood that the proposed project will result in the benefits expected.

## **3. Anticipated Announcement Award Date**

## **VI. Award Administration Information**

### **1. Award Notices**

Successful applicants will receive an electronic Notice of Award. The Notice of Award is the authorizing document from the U.S. Administration for Community Living authorizing official, Office of Grants Management, and the ACL Office of Budget and Finance. Acceptance of this award is signified by the drawdown of funds from the Payment Management System. Unsuccessful applicants are generally notified within 30 days of the final funding decision and will receive a disapproval letter via e-mail or

U.S. mail. Unless indicated otherwise in this announcement, unsuccessful applications will not be retained by the agency and destroyed.

## **2. Administrative and National Policy Requirements**

The award is subject to DHHS Administrative Requirements, which can be found in 45CFR Part 74 and 92 and the Standard Terms and Conditions, included in the Notice of Award as well as implemented through the HHS Grants Policy Statement located at <http://www.hhs.gov/grantsnet/adminis/gpd/index.htm>.

A standard term and condition of award will be included in the final notice of award; all applicants will be subject to a term and condition that applies to the terms of 48 CFR section 3.908 to the award, and requires the grantees inform their employee in writing of employee whistleblower rights and protections under 41 U.S.C. 4712 in the predominant native language of the workforce.

## **3. Reporting**

### **4. FFATA and FSRS Reporting**

The Federal Financial Accountability and Transparency Act (FFATA) requires data entry at the FFATA Subaward Reporting System (<http://www.FSRS.gov>) for all sub-awards and sub-contracts issued for \$25,000 or more as well as addressing executive compensation for both grantee and sub-award organizations.

For further guidance please see the following link:

[http://www.acl.gov/Funding\\_Opportunities/Grantee\\_Info/FFATA.aspx](http://www.acl.gov/Funding_Opportunities/Grantee_Info/FFATA.aspx)

## **VII. Agency Contacts**

### **Project Officer:**

U.S. Department of Health and Human Services  
Administration for Community Living  
Stephanie Whittier Eliason  
Office of Elder Rights  
Phone Number: (202) 357-3519  
E-mail: [stephanie.whittiereliason@acl.hhs.gov](mailto:stephanie.whittiereliason@acl.hhs.gov)

### **Grants Management Specialist:**

U.S. Department of Health and Human Services  
Administration for Community Living  
LaDeva Harris  
Office of Grants Management  
Phone Number: (202) 357-3437  
E-mail: [ladeva.harris@aoa.hhs.gov](mailto:ladeva.harris@aoa.hhs.gov)

## **VIII. Other Information**

## **1. Application Elements**

- a. SF 424, required – Application for Federal Assistance (See “Instructions for Completing Required Forms” for assistance).
- b. SF 424A, required – Budget Information. (See Attachment A for Instructions; See “Standard Form 424A – Sample Format” for an example of a completed SF 424A).
- c. Separate Budget Narrative/Justification, required (See “Budget Narrative/Justification - Sample Format” for examples and “Budget Narrative/Justification – Sample Template.”)

NOTE: Applicants requesting funding for multi-year grant projects are REQUIRED to provide a Narrative/Justification for each year of potential grant funding, as well as a combined multi-year detailed Budget Narrative/Justification.

- d. SF 424B – Assurance, required. Note: Be sure to complete this form according to instructions and have it signed and dated by the authorized representative (see item 18d on the SF 424).
- e. Lobbying Certification, required
- f. Proof of non-profit status, if applicable
- g. Copy of the applicant's most recent indirect cost agreement, if requesting indirect costs. If any sub-contractors or sub-grantees are requesting indirect costs, copies of their indirect cost agreements must also be included with the application.
- h. Project Narrative with Work Plan, required (See “Project Work Plan – Sample Template” for a formatting suggestions).
- i. Organizational Capability Statement and Vitae for Key Project Personnel.
- j. Letters of Commitment from Key Partners, if applicable.

## **2. The Paperwork Reduction Act of 1995 (P.L. 104-13)**

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The project description and Budget Narrative/Justification is approved under OMB control number 0985-0018 which expires on 3/12/17. Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed and reviewing the collection information.

## **Instructions for Completing Required Forms**

This section provides step-by-step instructions for completing the four (4) standard Federal forms required as part of your grant application, including special instructions for completing Standard Budget Forms 424 and 424A. Standard Forms 424 and 424A are used for a wide variety of Federal grant programs, and Federal agencies have the discretion to require some or all of the information on these forms. ACL does not require all the information on these Standard Forms. Accordingly, please use the instructions below in lieu of the standard instructions attached to SF 424 and 424A to complete these forms.

### **a. Standard Form 424**

1. **Type of Submission:** (REQUIRED): Select one type of submission in accordance with agency instructions.

- Preapplication
- Application
- Changed/Corrected Application – If ACL requests, check if this submission is to change or correct a

previously submitted application.

**2. Type of Application:** (REQUIRED) Select one type of application in accordance with agency instructions.

- New
- Continuation
- Revision

**3. Date Received:** Leave this field blank.

**4. Applicant Identifier:** Leave this field blank

**5a Federal Entity Identifier:** Leave this field blank

**5b. Federal Award Identifier:** For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award (grant) number.

**6. Date Received by State:** Leave this field blank.

**7. State Application Identifier:** Leave this field blank.

**8. Applicant Information:** Enter the following in accordance with agency instructions:

**a. Legal Name:** (REQUIRED): Enter the name that the organization has registered with the System for Award Management (SAM), formally the Central Contractor Registry. Information on registering with SAM may be obtained by visiting the Grants.gov website (<http://www.grants.gov>) or by going directly to the SAM website ([www.sam.gov](http://www.sam.gov)).

**b. Employer/Taxpayer Number (EIN/TIN):** (REQUIRED): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. In addition, we encourage the organization to include the correct suffix used to identify your organization in order to properly align access to the Payment Management System.

**c. Organizational DUNS:** (REQUIRED) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website (<http://www.grants.gov>). Your DUNS number can be verified at [www2.zapdata.com/CompanyLookup.do](http://www2.zapdata.com/CompanyLookup.do).

**d. Address:** (REQUIRED) Enter the complete address including the county.

**e. Organizational Unit:** Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the project.

**f. Name and contact information of person to be contacted on matters involving this application:**

Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.

**9. Type of Applicant:** (REQUIRED) Select the applicant organization “type” from the following drop down list.

- A. State Government
- B. County Government
- C. City or Township Government
- D. Special District Government
- E. Regional Organization
- F. U.S. Territory or Possession
- G. Independent School District
- H. Public/State Controlled Institution of Higher Education
- I. Indian/Native American Tribal Government (Federally Recognized)
- J. Indian/Native American Tribal Government (Other than Federally Recognized)
- K. Indian/Native American Tribally Designated Organization
- L. Public/Indian Housing Authority
- M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education)
- N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education)
- O. Private Institution of Higher Education
- P. Individual
- Q. For-Profit Organization (Other than Small Business)
- R. Small Business
- S. Hispanic-serving Institution
- T. Historically Black Colleges and Universities (HBCUs)
- U. Tribally

Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions  
W. Non-domestic (non-US) Entity X. Other (specify)

10. **Name Of Federal Agency:** (REQUIRED) Enter U.S. Administration for Community Living

11. **Catalog Of Federal Domestic Assistance Number>Title:** The CFDA number can be found on page one of the Program Announcement.

12. **Funding Opportunity Number>Title:** (REQUIRED) The Funding Opportunity Number and title of the opportunity can be found on page one of the Program Announcement.

13. **Competition Identification Number>Title:** Leave this field blank.

14. **Areas Affected By Project:** List the largest political entity affected (cities, counties, state etc).

15. **Descriptive Title of Applicant's Project:** (REQUIRED) Enter a brief descriptive title of the project (This is not a narrative description).

16. **Congressional Districts Of:** (REQUIRED) 16a. Enter the applicant's Congressional District, and 16b. Enter all district(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-103 for North Carolina's 103rd district. If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e. all districts within all states are affected, enter US-all. See the below website to find your congressional district:

<http://www.house.gov/Welcome.shtml>

17. **Proposed Project Start and End Dates:** (REQUIRED) Enter the proposed start date and final end date of the project. **If you are applying for a multi-year grant, such as a 3 year grant project, the final project end date will be 3 years after the proposed start date.** In general, all start dates on the SF424 should be the 1st of the month and the end date of the last day of the month of the final year, for example 7/01/2014 to 6/30/2017. The Grants Officer can alter the start and end date at their discretion.

18. **Estimated Funding:** (REQUIRED) If requesting multi-year funding, enter the full amount requested from the Federal Government in line item 18.a., as a multi-year total. For example and illustrative purposes only, if year one is \$100,000, year two is \$100,000, and year three is \$100,000, then the full amount of Federal funds requested would be reflected as \$300,000. The amount of matching funds is denoted by lines b. through f. with a combined Federal and non-Federal total entered on line g. Lines b. through f. represents contributions to the project by the applicant and by your partners during the total project period, broken down by each type of contributor. The value of in-kind contributions should be included on appropriate lines, as applicable.

**NOTE:** Applicants should review cost sharing or matching principles contained in Subpart C of 45 CFR Part 74 or 45 CFR Part 92 before completing Item 18 and the Budget Information Sections A, B and C noted below.

All budget information entered under item 18 should cover the total project period. For sub-item 18a, enter the Federal funds being requested. Sub-items 18b-18e is considered matching funds. The dollar amounts entered in sub-items 18b-18f must total at least 1/3rd of the amount of Federal funds being requested (the amount in 18a). For a full explanation of ACL's match requirements, see the information in the box below. For sub-item 18f (program income), enter only the amount, if any, that is going to be used as part of the required match. Program Income submitted as match will become a part of the award match and recipients will be held accountable to meet their share of project expenses even if program income is not generated during the award period.

There are two types of match: 1) non-Federal cash and 2) non-Federal in-kind. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including

sub-grantees, contractors and consultants, are considered **matching funds**. Examples of **non-Federal cash match** includes budgetary funds provided from the applicant agency's budget for costs associated with the project. Generally, most contributions from sub-contractors or sub-grantees (third parties) will be non-Federal in-kind matching funds. Volunteered time and use of third party facilities to hold meetings or conduct project activities may be considered in-kind (third party) donations.

NOTE: **Indirect charges** may only be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with DHHS requirements. **If indirect costs are to be included in the application, a copy of the approved indirect cost agreement must be included with the application. Further, if any sub-contractors or sub-grantees are requesting indirect costs, a copy of the latest approved indirect cost agreements must also be included with the application, or reference to an approved cost allocation plan.**

### **ACL's Match Requirement**

Under many ACL programs, ACL will fund no more than 75 % of the **project's total cost**, which means the applicant must cover at least 25% of the **project's total cost** with non-Federal resources. In other words, for every three (3) dollars received in Federal funding, the applicant must contribute at least one (1) dollar in non-Federal resources toward the project's total cost (i.e., the amount on line 18g.). This "three-to-one" ratio is reflected in the following formula which you can use to calculate your **minimum required match**:

$$\frac{\text{Federal Funds Requested} * \text{Match Percentage}}{\text{Inverse Match Percentage}} = \text{Minimum Match Requirement}$$

#### **Examples of varying match levels:**

$$1) \$100,000 \text{ (federal funds requested)} * 5\% \text{ (match)} = \$5,263$$

95%

$$2) \$100,000 * 25\% \text{ (match)} = \$33,333$$

75%

$$3) \$100,000 * 35\% \text{ (match)} = \$53,846$$

65%

$$4) \$100,000 * 45\% \text{ (match)} = \$81,818$$

55%

**If the required non-Federal share is not provided by the completion date of the funded project period, ACL will reduce the Federal dollars awarded when closing out the award to meet the match percentage, which may result in a requirement to return Federal funds.**

**19. Is Application Subject to Review by State Under Executive Order 12372 Process?** Check c.  
Program is not covered by E.O. 12372

**20. Is the Applicant Delinquent on any Federal Debt?** (Required) This question applies to the applicant organization, not the person who signs as the authorized representative. If yes, include an explanation on the continuation sheet.

**21. Authorized Representative:** (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

### **Standard Form 424A**

NOTE: Standard Form 424A is designed to accommodate applications for multiple grant programs; thus, for purposes of this ACL program, many of the budget item columns and rows are not applicable. You should only consider and respond to the budget items for which guidance is provided below. Unless otherwise indicated, the SF 424A should reflect a multi-year budget. See Attachment B. **Section A Budget Summary**

#### **Section A - Budget Summary**

**Line 5:** Leave columns (c) and (d) blank. Enter TOTAL Federal costs in column (e) and total nonFederal costs (including third party in-kind contributions and any program income to be used as part of the grantee match) in column (f). Enter the sum of columns (e) and (f) in column (g).

#### **Section B Budget Categories**

Column 1: Enter the breakdown of how you plan to use the Federal funds being requested by object class category (see instructions for each object class category in Attachment C).

Column 2: Enter the breakdown of how you plan to use the non-Federal share by object class category.

Column 5: Enter the total funds required for the project (sum of Columns 1 and 2) by object class category.

#### **Section C – Non Federal Resources**

Column A: Enter the federal grant program.

Column B: Enter in any non-federal resources that the applicant will contribute to the project.

Column C: Enter in any non-federal resources that the state will contribute to the project.

Column D: Enter in any non-federal resources that other sources will contribute to the project.

Column E: Enter the total non-federal resources for each program listed in column A.

#### **Section D –Forecasted Cash Needs**

**Line 13:** Enter Federal forecasted cash needs broken down by quarter for the first year only.

**Line 14:** Enter Non-Federal forecasted cash needs broken down by quarter for the first year.

Line 15: Enter total forecasted cash needs broken down by quarter for the first year.

Note: This area is not meant to be one whereby an applicant merely divides the requested funding by four and inserts that amount in each quarter but an area where thought is given as to how your estimated expenses will be incurred during each quarter. For example, if you have initial startup costs in the first quarter of your award reflect that in quarter one or you do not expect to have contracts awarded and funded until quarter three, reflect those costs in that quarter.

## **Section E – Budget Estimates of Federal Funds Needed for Balance of the Project (i.e. subsequent years 2, 3, 4 or 5 as applicable).**

Column A: Enter the federal grant program

Column B (first): Enter the requested year two funding.

Column C (second): Enter the requested year three funding.

Column D (third): Enter the requested year four funding, if applicable.

Column E (forth): Enter the requested year five funding, if applicable.

## **Section F – Other Budget Information**

**Line 21:** Enter the total Indirect Charges

**Line 22:** Enter the total Direct charges (calculation of indirect rate and direct charges).

**Line 23:** Enter any pertinent remarks related to the budget.

### **Separate Budget Narrative/Justification Requirement**

**Applicants requesting funding for multi-year grant programs are REQUIRED to provide a combined multi-year Budget Narrative/Justification, as well as a detailed Budget Narrative/Justification for each year of potential grant funding. A separate Budget Narrative/Justification is also REQUIRED for each potential year of grant funding requested.**

For your use in developing and presenting your Budget Narrative/Justification, a sample format with examples and a blank sample template have been included in these Attachments. In your Budget Narrative/Justification, you should include a breakdown of the budgetary costs for all of the object class categories noted in Section B, across three columns: Federal; non-Federal cash; and non-Federal in-kind. Cost breakdowns, or justifications, are required for any cost of \$1,000 or for the thresholds as established in the examples. The Budget Narratives/Justifications should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Non-Federal cash as well as, sub-contractor or sub-grantee (third party) in-kind contributions designated as match must be clearly identified and explained in the Budget Narrative/Justification. The full Budget Narrative/Justification should be included in the application immediately following the SF 424 forms.

Line 6a: **Personnel:** Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants, which should be included under 6h Other.

**In the Justification:** Identify the project director, if known. Specify the key staff, their titles, and time commitments in the budget justification.

Line 6b: **Fringe Benefits:** Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate.

**In the Justification:** If the total fringe benefit rate exceeds 35% of Personnel costs, provide a breakdown of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement, etc. A percentage of 35% or less does not require a break down but you must show the

percentage charged for each full/part time employee.

Line 6c: **Travel:** Enter total costs of all travel (local and non-local) for staff on the project. NEW: Local travel is considered under this cost item not under Other. Local transportation (all travel which does not require per diem is considered local travel). Do not enter costs for consultant's travel - this should be included in line 6h.

**In the Justification:** Include the total number of trips, number of travelers, destinations, purpose (e.g., attend conference), length of stay, subsistence allowances (per diem), and transportation costs (including mileage rates).

Line 6d: **Equipment:** Enter the total costs of all equipment to be acquired by the project. For all grantees, "equipment" is nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. If the item does not meet the \$5,000 threshold, include it in your budget under Supplies, line 6e.

**In the Justification:** Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions. Further, the purchase of specific items of equipment should not be included in the submitted budget if those items of equipment, or a reasonable facsimile, are otherwise available to the applicant or its subgrantees.

Line 6e: **Supplies:** Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d.

**In the Justification:** For any grant award that has supply costs in excess of 5% of total direct costs (Federal or Non-Federal), you must provide a detailed break down of the supply items (e.g., 6% of \$100,000 = \$6,000 – breakdown of supplies needed). If the 5% is applied against \$1 million total direct costs ( $5\% \times \$1,000,000 = \$50,000$ ) a detailed breakdown of supplies is not needed. Please note: any supply costs of \$5,000 or less regardless of total direct costs does not require a detailed budget breakdown (e.g.,  $5\% \times \$100,000 = \$5,000$  – no breakdown needed).

Line 6f: **Contractual:** Regardless of the dollar value of any contract, you must follow your established policies and procedures for procurements and meet the minimum standards established in the Code of Federal Regulations (CFR's) mentioned below. Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Note: The 33% provision has been removed and line item budget detail is not required as long as you meet the established procurement standards. Also include any awards to organizations for the provision of technical assistance. Do not include payments to individuals on this line. Please be advised: A subrecipient is involved in financial assistance activities by receiving a sub-award and a subcontractor is involved in procurement activities by receiving a sub-contract. Through the recipient, a subrecipient performs work to accomplish the public purpose authorized by law. Generally speaking, a sub-contractor does not seek to accomplish a public benefit and does not perform substantive work on the project. It is merely a vendor providing goods or services to directly benefit the recipient, for example procuring landscaping or janitorial services. In either case, you are encouraged to clearly describe the type of work that will be accomplished and type of relationship with the lower tiered entity whether it be labeled as a subaward or subcontract.

**In the Justification:** Provide the following three items – 1) Attach a list of contractors indicating the name of the organization; 2) the purpose of the contract; and 3) the estimated dollar amount. If the name of the contractor and estimated costs are not available or have not been negotiated, indicate when this information will be available. The Federal government reserves the right to request the final executed contracts at any time. If an individual contractual item is over the small purchase threshold, currently set at \$100K in the CFR, you must certify that your procurement standards are in accordance with the policies and procedures as stated in 45 CFR 74.44 for non-profits and 92.36 for states, in lieu of providing separate detailed budgets. This certification should be referenced in the justification and attached to the budget

narrative.

Line 6g: **Construction:** Leave blank since construction is not an allowable costs for this program.

Line 6h: **Other:** Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to: insurance, medical and dental costs (i.e. for project volunteers this is different from personnel fringe benefits), non-contractual fees and travel paid directly to individual consultants, postage, space and equipment rentals/lease, printing and publication, computer use, training and staff development costs (i.e. registration fees). If a cost does not clearly fit under another category, and it qualifies as an allowable cost, then rest assured this is where it belongs.

Note: A recent Government Accountability Office (GAO) report number 11-43, has raised considerable concerns about grantees and contractors charging the Federal government for additional meals outside of the standard allowance for travel subsistence known as per diem expenses. If meals are to be charged towards the grant they must meet the following criteria outlined in the Grants Policy Statement:

- *Meals are generally unallowable except for the following:*
- *For subjects and patients under study(usually a research program);*
- *Where specifically approved as part of the project or program activity, e.g., in programs providing children's services (e.g., Headstart);*
- *When an organization customarily provides meals to employees working beyond the normal workday, as a part of a formal compensation arrangement;*
- *As part of a per diem or subsistence allowance provided in conjunction with allowable travel; and*
- *Under a conference grant, when meals are a necessary and integral part of a conference, provided that meal costs are not duplicated in participants' per diem or subsistence allowances (Note: the sole purpose of the grant award is to hold a conference).*

**In the Justification:** Provide a reasonable explanation for items in this category. For example, individual consultants explain the nature of services provided and the relation to activities in the work plan or indicate where it is described in the work plan. Describe the types of activities for staff development costs.

Line 6i: **Total Direct Charges:** Show the totals of Lines 6a through 6h.

Line 6j: **Indirect Charges:** Enter the total amount of indirect charges (costs), if any. If

no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. **State governments should enter the amount of indirect costs determined in accordance with DHHS requirements.** An applicant that will charge indirect costs to the grant must enclose a copy of the current rate agreement. Indirect Costs can only be claimed on Federal funds, more specifically, they are to only be claimed on the Federal share of your direct costs. Any unused portion of the grantee's eligible Indirect Cost amount that are not claimed on the Federal share of direct charges can be claimed as un-reimbursed indirect charges, and that portion can be used towards meeting the recipient match.

Line 6k: **Total:** Enter the total amounts of Lines 6i and 6j.

Line 7: **Program Income:** As appropriate, include the estimated amount of income, if any, you expect to be generated from this project that you wish to designate as match (equal to the amount shown for Item 15(f) on Form 424). **Note:** Any program income indicated at the bottom of Section B and for item 15(f) on the face sheet of Form 424 will be included as part of non-Federal match and will be subject to the rules for documenting completion of this pledge. If program income is expected, but is not needed to achieve matching funds, **do not** include that portion here or on Item 15(f) of the Form 424 face sheet.

Any anticipated program income that will not be applied as grantee match should be described in the Level of Effort section of the Program Narrative.

**c. Standard Form 424B – Assurances (required)**

This form contains assurances required of applicants under the discretionary funds programs administered by the Administration for Community Living. Please note that a duly authorized representative of the applicant organization must certify that the organization is in compliance with these assurances.

**d. Certification Regarding Lobbying (required)**

This form contains certifications that are required of the applicant organization regarding lobbying. Please note that a duly authorized representative of the applicant organization must attest to the applicant's compliance with these certifications.

**Proof of Non-Profit Status (as applicable)**

Non-profit applicants must submit proof of non-profit status. Any of the following constitutes acceptable proof of such status:

- A copy of a currently valid IRS tax exemption certificate.
- A statement from a State taxing body, State attorney general, or other appropriate State official certifying that the applicant organization has a non-profit status and that none of the net earnings accrue to any private shareholders or individuals.
- A certified copy of the organization's certificate of incorporation or similar document that clearly establishes non-profit status.

**Indirect Cost Agreement**

Applicants that have included indirect costs in their budgets must include a copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another Federal agency. This is optional for applicants that have not included indirect costs in their budgets.

**Standard Form 424A - Sample Format**

OMB Approval No. 0348-0044 BUDGET INFORMATION--Non-Construction Programs						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
Lifespan Respite	93.048			340,294	113,433	453,727
2.						
3.						
4.						
5.				340,294	113,433	453,727
<b>TOTALS</b>						
SECTION B-BUDGET CATEGORIES						
6. Object Class Categories	Grant Program, Function, or Activity					

	(1) Year 1	(2) Year 2	(3) Year 3	(4)	Total (5)
a. Personnel	71,254	30,000	35,000		136,254
b. Fringe Benefits	26,114	15,000	20,000		61,114
c. Travel	7,647	5,000	5,000		17,647
d. Equipment	10,000	0	0		10,000
e. Supplies	9,460	2,500	1,000		12,960
f. Contractual	30,171	0	0		30,171
g. Construction	0	0	0		
h. Other	11,480	55,833	47,334		114,647
i. Total Direct Charges (Sum 6a-h)	166,126	108,333	108,334		382,793

OMB Approval No. 0348-0044

#### BUDGET INFORMATION--Non-Construction Programs

j. Indirect Charges @	20,934	25,000	25,000		70,934
TOTALS (Sum 6i and j)	187,060	133,333	133,334		453,727
7. Program Income	None				

SECTION C-NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. Lifespan Respite	80,866	32,547		113,433	
9.					
10.					
11.					
12. TOTALS (Sum of lines 8 and 11)	80,866	32,547		113,433	

  

SECTION D-FORECASTED CASH NEEDS					
13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	140,294	20,000	50,000	20,000	50,294
	46,766	12,000	10,000	9,000	15,766
TOTAL (Sum of lines 13 and 14)					

SECTION E-BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	Future Funding Periods (Years)				
	(b) First	(c) Second	(d)	(e)	
Life Span Respite	100,000	100,000			

17.					
18.					
19.					
20. TOTALS (Sum of lines 16-19)					

#### SECTION F-OTHER BUDGET INFORMATION

21. Direct Charges	22. Indirect Charges
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23. Remarks
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Prescribed by OMB Circular A-102

#### Budget Narrative/Justification - Sample Format

NOTE: Applicants requesting funding for a multi-year grant program are REQUIRED to provide a detailed Budget Narrative/Justification for EACH potential year of grant funding requested.

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel	\$47,700	\$23,554	\$0	\$71,254	<p><b>Federal</b>            Project Director (name) = .5 FTE @ \$95,401/yr = \$47,700</p> <p><b>Non-Fed Cash</b>            Officer Manager (name) = .5FTE @ \$47,108/yr = <u>\$23,554</u></p> <p><b>Total</b>            71,254</p>
Fringe Benefits	\$17,482	\$8,632	\$0	\$26,114	<p><b>Federal</b>            Fringe on Project Director at 36.65% = \$17,482            FICA (7.65%)            Health (25%)            Dental (2%)            Life (1%)            Unemployment (1%)</p> <p><b>Non-Fed Cash</b>            Fringe on Office Manager at 36.65% = \$8,632            FICA (7.65%)            Health (25%)            Dental (2%)            Life (1%)            Unemployment (1%)</p>

Travel	\$4,707	\$2,940	\$0	\$7,647	<b>Federal</b> Local travel: 6 TA site visits for 1 person Mileage: 6RT @ .585 x 700 miles \$2,457 Lodging: 15 days @ \$110/day \$1,650 Per Diem: 15 days @ \$40/day \$600 Total <u>\$4,707</u> <b>Non-Fed Cash</b> Travel to National Conference in (Destination) for 3 people Airfare 1 RT x 3 staff @ \$500 \$1,500 Lodging: 3 days x 3 staff @ \$120/day \$1,080 Per Diem: 3 days x 3 staff @ \$40/day <u>\$360</u> Total <u>\$2,940</u>
Equipment	\$10,000	\$0	\$0	\$10,000	No Equipment requested OR: Call Center Equipment Installation = \$5,000 Phones = <u>\$5,000</u> Total <u>\$10,000</u>
Supplies	\$3,700	\$5,670	\$0	\$9,460	<b>Federal</b> 2 desks @ \$1,500 \$3,000 2 chairs @ \$300 \$600 2 cabinets @ \$200 \$400 <b>Non-Fed Cash</b> 2 Laptop computers \$3,000 Printer cartridges @ \$50/month \$300 Consumable supplies (pens, paper, clips etc...) @ \$180/month <u>\$2,160</u> Total <u>\$9,460</u>

Contractual	\$30,171	\$0	\$0	\$30,171	(organization name, purpose of contract and estimated dollar amount) Contract with AAA to provide respite services: 11 care givers @ \$1,682 = \$18,502 Volunteer Coordinator = <u>\$11,669</u> Total \$30,171 <i>If contract details are unknown due to contract yet to be made provide same information listed above and: A detailed evaluation plan and budget will be submitted by (date), when contract is made.</i>
Other	\$5,600	\$0	\$5,880	\$11,480	<b>Federal</b> 2 consultants @ \$100/hr for 24.5 hours each = \$4,900 Printing 10,000 Brochures @ \$.05 = \$500 Local conference registration fee (name conference) = <u>\$200</u> Total \$5,600 <b>In-Kind Volunteers</b> 15 volunteers @ \$8/hr for 49 hours = \$5,880
Indirect Charges	\$20,934	\$0	\$0	\$20,934	21.5% of salaries and fringe = \$20,934 IDC rate is attached.
TOTAL	\$140,294	\$40,866	\$5,880	\$187,060	

#### Budget Narrative/Justification - Sample Template

NOTE: Applicants requesting funding for a multi-year grant program are REQUIRED to provide a detailed Budget Narrative/Justification for EACH potential year of grant funding requested.

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel					
Fringe Benefits					
Travel					
Equipment					
Supplies					
Contractual					
Other					
Indirect Charges					
TOTAL					

## **Project Work Plan - Sample Template**

NOTE : Applicants requesting funding for a multi-year grant program are REQUIRED to provide a Project Work Plan for EACH potential year of grant funding requested.

Goal:

Measurable Outcome(s):

\* Time Frame (Start/End Dates by Month in Project Cycle)

Major Objectives	Key Tasks	Lead Person	1*	2*	3*	4*	5*	6*	7*	8*	9*	10*	11*	12*
1.														
2.														
3.														
4.														
5.														
6.														

NOTE: Please do note infer from this sample format that your work plan must have 6 major objectives. If you need more pages, simply repeat this format on additional pages.

## **Instructions for Completing the Project Summary/Abstract**

- All applications for grant funding must include a Summary/Abstract that concisely describes the proposed project. It should be written for the general public.
- To ensure uniformity, limit the length to 265 words or less, on a single page with a font size of not less than 11, doubled-spaced.
- The abstract must include the project's goal(s), objectives, overall approach (including target population and significant partnerships), anticipated outcomes, products, and duration. The following are very simple descriptions of these terms, and a sample Compendium abstract.

**Goal(s)** – broad, overall purpose, usually in a mission statement, i.e. what you want to do, where you want to be.

**Objective(s)** – narrow, more specific, identifiable or measurable steps toward a goal. Part of the planning

process or sequence (the “how”) to attain the goal(s).

**Outcomes** - measurable results of a project. Positive benefits or negative changes, or measurable characteristics that occur as a result of an organization’s or program’s activities. (Outcomes are the end-point)

**Products** – materials, deliverables.

- A model abstract/summary is provided below:

The Delaware Division of Services for Aging and Adults with Physical Disabilities (DSAAPD), in **partnership** with the Delaware Lifespan Respite Care Network (DLRCN) and key stakeholders will, in the course of this two-year project, expand and maintain a statewide coordinated lifespan respite system that builds on the infrastructure currently in place. The **goal** of this project is to improve the delivery and quality of respite services available to families across age and disability spectrums by expanding and coordinating existing respite systems in Delaware. The **objectives** are: 1) to improve lifespan respite infrastructure; 2) to improve the provision of information and awareness about respite service; 3) to streamline access to respite services through the Delaware ADRC; 4) to increase availability of respite services. Anticipated **outcomes** include: 1) families and caregivers of all ages and disabilities will have greater options for choosing a respite provider; 2) providers will demonstrate increased ability to provide specialized respite care; 3) families will have streamlined access to information and satisfaction with respite services; 4) respite care will be provided using a variety of existing funding sources and 5) a sustainability plan will be developed to support the project in the future. The expected **products** are marketing and outreach materials, caregiver training, respite worker training, a Respite Online searchable database, two new Caregiver Resource Centers (CRC), an annual Respite Summit, a respite voucher program and 24/7 telephone information and referral services.